



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
-----------------	-------------	----------------------	---------------------	------------------

09/751,630

12/29/2000

Joanne S. Walter

9003

9263

26884

7590

01/26/2007

PAUL W. MARTIN

NCR CORPORATION, LAW DEPT.

1700 S. PATTERSON BLVD.

DAYTON, OH 45479-0001

EXAMINER

LIVERSEDGE, JENNIFER L

ART UNIT

PAPER NUMBER

3692

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
----------------------------------------	-----------	---------------

3 MONTHS

01/26/2007

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary

Application No.

09/751,630

Applicant(s)

WALTER, JOANNE S.

Examiner

Jennifer Liversedge

Art Unit

3692

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 09 December 2006.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Response to Amendment

This Office Action is responsive to Applicant's amendment and request for reconsideration of application 09/751,630 filed on December 9, 2006.

The amendment contains original claims: 3, 8, 10, 12, 16 and 18-20.

The amendment contains previously presented claims: 2, 4-7, 11 and 13-15.

The amendment contains amended claims: 1, 9 and 17.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

Claims 1-6, 9, 11, 13-17 and 19-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Pub No. US 2002/0091562 A1 to Siegel et al. (further referred to as Siegel), and further in view of "Protecting E-Privacy: Washington Must Step In" by Marcia Stepanek (further referred to as Stepanek).

Regarding claim 1, Siegel discloses a method for prescribing personal data preferences (page 1, paragraph 7) comprising the steps of:

- a) coupling an electronic consumer device to a computer of a business (page 2, paragraphs 13 and 22-23);

- b) accessing a personal data preferences program executed by the computer through use of the electronic consumer device that enables a consumer to create a personal privacy profile choosing, selecting, and then assigning opt in or opt out privacy options to one or more specific, distinct, and different types of personal data collected and maintained by the business for the purpose of identifying and limiting the discrete types of data the business is authorized, by the customer's choice of opt in, to collect, use, and disseminate in accordance with the personal privacy profile data type options selected as opt in by the customer (page 1, paragraph 7; page 2, paragraphs 13 and 23);

- c) recording consumer selection of the privacy options via the consumer device by the computer (page 2, paragraphs 13 and 22-23);

- d) coding selected privacy options by the computer (page 2, paragraph 24; page 3, paragraph 35);

e) downloading coded privacy options to the consumer device by the computer (page 2, paragraph 24; page 3, paragraphs 33-34; page 4, paragraphs 41-42; page 5, paragraph 44);

f) transferring the coded privacy options to a consumer storage medium separate from the consumer device by the computer (page 2, paragraphs 23-24; page 3, paragraphs 33-34; page 4, paragraphs 41-42; page 5, paragraph 44);

g) reading the coded privacy options from the consumer storage medium by a transaction computer during a transaction between the consumer and the business (page 2, paragraphs 13 and 23-24); and

h) limiting the collection, use, and dissemination of the personal data by the transaction computer in accordance with the coded privacy options (page 1, paragraphs 7 and 12; page 4, paragraph 39; page 5, paragraph 44).

Siegel discloses where the information gathered includes but is not limited to the data types of history of purchases from the business by the consumer, demographic data, amount purchased, frequency of purchase, coupon used, payment method used, time of day, week, and year purchased (page 1, paragraph 12; page 2, paragraphs 14 and 23-24; page 3, paragraph 35; page 4, paragraphs 39-43; page 5, paragraph 44).

Siegel does not disclose where consumers may opt out of having this information collected. However, Stepanek discloses where consumers may opt out of having this information collected (pages 1-2). It would be obvious to one of ordinary skill in the art to modify the privacy options for data collection with opt out feature for collection of personal data as disclosed by Siegel to adapt the use of opting out of purchase data

collection as disclosed by Stepanek. The motivation would be that purchase information is another form of personal data (as it indicates interests and shopping patterns, etc.) and users may not want this information collected and stored by a merchant, such as is stated by Stepanek.

Regarding claim 9, Siegel discloses a method of encoding personal data preferences of a consumer for use during a purchase transaction (page 1, paragraph 7) comprising the steps of:

a) coupling an electronic consumer device to a computer of a business (page 2, paragraphs 13 and 22-23);

b) accessing a personal data preferences program executed by the computer through use of the electronic consumer device that enables a consumer to create a personal privacy profile choosing, selecting, and then assigning opt in or opt out privacy options to one or more specific, distinct, and different types of personal data collected and maintained by the for the purpose of identifying and limiting the discrete types of data the business is authorized, by the customer's choice of opt in, to collect, use, and disseminate in accordance with the personal privacy profile data type options selected as opt in by the customer (page 1 , paragraph 7; page 2, paragraphs 13 and 23);

c) permitting the consumer to select of the privacy options via the consumer device by the computer (page 2, paragraphs 13 and 22-23);

d) encoding selected privacy options by the computer (page 2, paragraph 24; page 3, paragraph 35); and

Art Unit: 3692

e) downloading coded privacy options to the consumer device by the computer for later downloading to a consumer storage medium separate from the consumer device (page 2, paragraph 24; page 3, paragraphs 33-34; page 4, paragraphs 41-42; page 5, paragraph 44);

f) reading the coded privacy options from the consumer storage medium by a transaction computer during the purchase transaction (page 2, paragraph 24; page 3, paragraphs 33-34; page 4, paragraphs 41- 42; page 5, paragraph 44) to limit the collection, use, and dissemination of the personal data by the transaction computer in accordance with the encoded selected privacy options (page 1, paragraphs 7 and 12; page 4, paragraph 39; page 5, paragraph 44).

Siegel discloses where the information gathered includes but is not limited to the data types of history of purchases from the business by the consumer, demographic data, amount purchased, frequency of purchase, coupon used, payment method used, time of day, week, and year purchased (page 1, paragraph 12; page 2, paragraphs 14 and 23-24; page 3, paragraph 35; page 4, paragraphs 39-43; page 5, paragraph 44). Siegel does not disclose where consumers may opt out of having this information collected. However, Stepanek discloses where consumers may opt out of having this information collected (pages 1-2). It would be obvious to one of ordinary skill in the art to modify the privacy options for data collection with opt out feature for collection of personal data as disclosed by Siegel to adapt the use of opting out of purchase data collection as disclosed by Stepanek. The motivation would be that purchase information is another form of personal data (as it indicates interests and shopping

patterns, etc.) and users may not want this information collected and stored by a merchant, such as is stated by Stepanek.

Regarding claim 17, Siegel discloses a system for prescribing personal data preferences (page 1, paragraph 7) comprising:

A processing unit (page 3, paragraph 26);

A network interface in communication with the processing unit and operable to be coupled to a computer of a business via an electronic network (page 2, paragraphs 13 and 22-23; page 3, paragraphs 26-27); and

Memory in communication with said processing unit and containing a plurality of instructions which, when executed by the processing unit (page 3, paragraph 26), enable

a) an electronic consumer device to connect to the computer to access a personal data preferences program of the computer via the electronic network (page 2, paragraphs 13 and 22-23), the personal data preferences program being operable to enable a consumer to create a personal privacy profile by choosing, selecting, and then assigning opt in or opt out privacy options to one or more distinct, and different types of personal data collected and maintained by a business for the purpose of identifying and limiting the discrete types of data the business is authorized, by the customer's choice of opt in, to collect, use, and disseminate in accordance with the personal privacy profile data type options selected as opt in by the customer (page 1, paragraph 7; page 2, paragraphs 13 and 23);

b) allowing a consumer via the consumer device to select the privacy options (page 2, paragraphs 13 and 22-23);

c) convert selected privacy options into a personal data model (page 2, paragraph 24; page 3, paragraph 35);

d) code the personal data model in a format readable by a retail terminal of the business during a purchase transaction to limit the collection, use, and dissemination of the personal data by the retail terminal (page 1, paragraphs 7 and 12; page 2, paragraphs 13 and 23-24; page 4, paragraph 39; page 5, paragraph 44);

e) transmit a coded personal data model to the consumer device, wherein the consumer device is operable to transfer a received coded personal data model onto a personal data preferences storage medium of the consumer which is separate from the consumer device and which is read by the retail terminal during the purchase transaction (page 2, paragraph 24; page 3, paragraphs 33-34; page 4, paragraphs 41-42; page 5, paragraph 44).

Siegel discloses where the information gathered includes but is not limited to the data types of history of purchases from the business by the consumer, demographic data, amount purchased, frequency of purchase, coupon used, payment method used, time of day, week, and year purchased (page 1, paragraph 12; page 2, paragraphs 14 and 23-24; page 3, paragraph 35; page 4, paragraphs 39-43; page 5, paragraph 44). Siegel does not disclose where consumers may opt out of having this information collected. However, Stepanek discloses where consumers may opt out of having this information collected (pages 1-2). It would be obvious to one of ordinary skill in the art

to modify the privacy options for data collection with opt out feature for collection of personal data as disclosed by Siegel to adapt the use of opting out of purchase data collection as disclosed by Stepanek. The motivation would be that purchase information is another form of personal data (as it indicates interests and shopping patterns, etc.) and users may not want this information collected and stored by a merchant, such as is stated by Stepanek.

Regarding claims 2-3 and 15-16, Siegel discloses the method wherein step a) includes coupling the consumer device to the computer via an electronic network and where the electronic network is the Internet (page 2, paragraphs 13 and 22-23).

Regarding claims 4-6, 13-14 and 19-20, Siegel discloses the method coding the selected privacy options into a barcode, a magnetic strip readable format and a magnetic strip on a card (page 2, paragraph 24; page 3, paragraphs 33-34).

Regarding claim 11, Siegel discloses the method further comprising the steps of:

f) transferring downloaded encoded selected privacy options onto a code storage device, the code storage device being readable by the transaction computer during a purchase transaction (page 2, paragraphs 13 and 23-24; page 3, paragraphs 33-34; page 4, paragraphs 41-42; page 5, paragraph 44);

g) reading the downloaded encoded privacy options from the consumer storage medium by the transaction computer during the purchase transaction (page 2,

paragraphs 13 and 23-24; page 3, paragraph 33; page 4, paragraphs 40 and 42).

Claims 7-8, 10, 12 and 18 are rejected under 35 U.S.C. 103(a) as being unpatentable over Siegel and Stepanek as applied to claims 1, 9, 11 and 17 above, and further in view of "Love Bug Virus Raises New Concerns About Password Security" by PR Newswire in May 2000 (further referred to as PR Newswire).

Regarding claim 7, neither Siegel nor Stepanek disclose the method of transferring the coded privacy options to a key fob. However, PR Newswire discloses the method of transferring the coded privacy options to a key fob (page 2, lines 29-32). It would be obvious to one of ordinary skill in the art at the time of the invention to modify the teaching of personal customer storage devices for storing personal data as disclosed by Siegel in combination with Stepanek to adapt the storing of personal information in a key fob as disclosed by PR Newswire. The motivation would be that a key fob is one of many forms of personal storage devices and users find the use of key fobs convenient as they can be stored on a user's key chain for safe keeping.

Regarding claims 8, 10 and 18, Siegel discloses the method wherein the consumer device is one of a personal computer or a personal digital assistance (page 2, paragraphs 13 and 22-24; page 3, paragraph 34). Neither Siegel nor Stepanek disclose a cell phone. However, PR Newswire discloses a cell phone (page 2, lines 29-32). It would be obvious to one of ordinary skill in the art at the time of the invention to modify

Art Unit: 3692

the teaching of personal customer storage devices for storing personal data as disclosed by Siegel in combination with Stepanek to adapt the use of consumer device being a cell phone as disclosed by PR Newswire. The motivation would be that a cell phone is one of many forms of personal storage devices and users are accustomed to carrying their cell phones with them.

Regarding claim 12, Siegel discloses the method wherein the code storage device comprises one of an access card and a barcode (page 2, paragraph 24; page 3, paragraphs 33-34). Siegel does not disclose a key fob. However, PR Newswire discloses the method where the storage device is a key flock (page 2, lines 29-32). It would be obvious to one of ordinary skill in the art at the time of the invention to modify the teaching of personal customer storage devices for storing personal data as disclosed by Siegel in combination with Stepanek to adapt the storing of personal information in a key fob as disclosed by PR Newswire. The motivation would be that a key fob is one of many forms of personal storage devices and users find the use of key fobs convenient as they can be stored on a user's key chain for safe keeping.

Response to Arguments

Applicant's arguments with respect to claims 1-20 have been considered but are moot in view of the new ground(s) of rejection.

Conclusion

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

Any inquiry concerning this communication should be directed to Jennifer Liversedge whose telephone number is 571-272-3167. The examiner can normally be reached on Monday – Friday, 8:30 – 5 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Richard Chilcot can be reached at 571-272-6777. The fax number for the organization where the application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only.

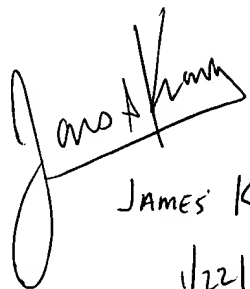
Art Unit: 3692

For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Jennifer Liversedge

Examiner

Art Unit 3692



JAMES KRAMER
1/22/07